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10/784,766	02/24/2004	Katsuro Kikuchi	ASAM.0112	8336

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10/22/2007

EXAMINER
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GUPTA, MUKTESH G

ART UNIT	PAPER NUMBER
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4121

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10/22/2007

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

## Office Action Summary

Application No.

10/784,766

Applicant(s)

KIKUCHI, KATSURO

Examiner

Muktesh G. Gupta

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 24 February 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-10 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-10 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 24 February 2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some \* c) ☐ None of:
- 1) ☒ Certified copies of the priority documents have been received.
  - 2) ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - 3) ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date 02/24/2004.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_.

### DETAILED ACTION

1. **Claims 1-10** have been examined and are pending.

#### *Priority*

2. Acknowledgment is made of applicant's claim for foreign priority under 35 U.S.C. 119(a)-(d).

The certified copy has been filed in parent Application No. 10784766 filed on 02/24/2004.

#### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

3. **Claims 1-10** rejected under 35 U.S.C. 102(a) as being anticipated by U.S. Patent No. US 7194524 to Suzuki et al. (hereinafter "Suzuki").

**As to Claim 1**, Suzuki teaches a method by a search broker for searching for service, said search broker being connected to a client making a request for service, servers organized in a hierarchical structure for providing service, a policy database for holding policy information about service requested by said client, and a registry for holding contents of service provided by said servers, said search method comprising (as stated in col.1, lines 20-24, lines 53-58, col. 10, lines 60-64 and col.

18, lines 21-23, an information processing system comprising an portal site to which the client has access, a **search engine** such as search robot (**search broker, agent**) and information **database** using information **collection policy (policy information) registered (registry)** in advance for the servers, folders where logical structure of **contents (service)** is mapped to **hierarchical structure** of folders, information disclosing server for disclosing contents, its attributes and relations among the contents to be disclosed and a portal server for obtaining information regarding contents from the information disclosing server(plural) and for creating display data for the requested service by the client, on its request):

a first step of receiving a request to search for service; (as stated in col. 1, lines 8-13, col. 2, lines 4-5, col. 4, lines 1-5, **client** 5 comprises send requesting means 5a, receiving means 5b, and display outputting means 5c. The send requesting means 5a requests the portal server 3 to send **predetermined display data (request for service)**. In the case of a request having been made from the client, obtaining information from a server storing attribute information indicating the attribute and logical structure of each piece of information or each service which can be provided and for providing it to a client);

a second step of asking for policy information of said client having made a request for service and obtaining the policy information of said client from said policy database (as stated in col. 2, lines 51-52, col. 4, lines 1-5, if a request is made from a client, the display data creating means 3c obtains the appropriate additional information from the additional information storage means 3b and creates display

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data. FIG. 14 is a view showing an example of a **collection policy**. This example is one for collecting all pieces of information of an object, collection conditions are set as per the requirements of the object. Policy Information obtained is of the client from the collection policy database)

a third step of requesting a search for a server matching service asked for by said search request and obtaining information showing a server matching said service from said registry; (as stated in col. 4, lines 5-7, lines 14-15, col. 7, lines 16-27, lines 30-39 and lines 48-61, type of Information Stored in the Information Disclosing Servers are, General contents, Form access contents, Event, Applet Parameter object and its attribute information possessed by all **contents**. A **search service** page representation format is a form and entry fields designated by arguments are arranged in order in a form. When a client request service and fills out the Form, Information Disclosing server provides the information based on the arguments and defined values after **matching** it from the **stored information database**);

a fourth step of extracting a server matching the client's policy information obtained in said second step from among servers related to said information obtained in said third step (as stated in col. 4, lines 5-7, lines 14-18, sending means 3d sends display data **created** by the display data **creating means** 3c to the client which made a request. The send requesting means 5a requests the portal server 3 to send predetermined display data. The receiving means 5b receives display data

sent from the portal server 3 as a result of a request from the send requesting means 5a);

and a fifth step of transmitting the information showing the server extracted in said fourth step to the source of the search request for service. ; (as stated in col. 4, lines 19-20, The display **outputting means** 5c outputs display data received by the receiving means 5b)

**As to Claim 2**, Suzuki teaches a method in claim 1, wherein said search broker further comprises an additional information database storing additional information related to service provided by said server (as stated in col. 3, lines 65-67, **additional information storage** means 3b stores additional information obtained by the additional information obtaining means 3a.),

wherein the third step comprises obtaining additional information of the server matching the requested service from the additional information database (as stated in col. 3, lines 65-67, The **additional information obtaining means** 3a obtains additional information stored in the additional information storing means 1b in the information disclosing server 1 by a predetermined method),

and wherein said fourth step comprises referring to the server's additional information obtained in the third step from among servers related to the information obtained third step and extracting a server matching the client's policy information obtained in the second step (as stated in col. 3, lines 50-60, **additional information** storing means 1b stores additional information indicating the respective attributes of

contents to be disclosed of contents stored in the contents storing means 1a and **relations** among the contents to be disclosed. The contents storing means 1a stores contents consisting of information, services, or the like. The portal server 3 comprises additional information **obtaining** means 3a, additional information storage means 3b, display data **creating (extracting)** means 3c, sending means 3d, and editing means 3e.)

**As to Claim 3**, Suzuki teaches a method by a portal server for providing service, said portal server being connected to a client making a request for service, servers organized in a hierarchical structure for providing service, a policy database for holding policy information about service requested by said client, a registry for holding contents of service provided by said servers, and a search broker for searching for a server providing service in response to a search request for service, said search method, performed by said portal server providing service to said search broker, comprising (as stated in preceding paragraph of claim 1 and col.1, lines 20-24, lines 53-58, col. 10, lines 60-64 and col. 18, lines 21-23, an information processing system comprising an **portal** site to which the **client** has access, a **search engine** such as **search robot** and information **database** using **information collection policy registered** in advance for the servers, folders where logical structure of contents is mapped to **hierarchical structure** of folders, information disclosing server for disclosing **contents**, its attributes and relations among the contents to be disclosed and a **portal server** for **obtaining** information regarding

**contents** from the information disclosing server and for creating display data for the requested service by the client, on its request):

a first step of said portal server receiving a service request from said client (as stated in preceding paragraph of claim 1 and col.3, lines 10-11 and col. 4 lines 12-13, FIG. 24 is a view showing an example of a screen displayed when a user logs in **a portal server** from a **client** and sends **service request**, using send requesting means);

a second step of said portal server asking said search broker to search for a server matching said service request (as stated in preceding paragraph of claim 1 and col.4, lines 14-15, col.6, lines 34-36 and col.6, lines 34-36, send requesting means 5a requests the **portal server** 13 to send predetermined display data. A **database** 32 and **agent (search broker)** 33 are implemented on the **portal server** 13. The database 32 stores page information 32a and contents information 32b. **Agent adapters** (AA) 34 through 37, online **analytical processing** (OLAP) 38, **data mining** 39, **text mining** 40, a general Web site 41, forms 42, a **relational database (RDB)** 43, and a document 44 are implemented on the **information disclosing servers** 15 through 17.);

a third step of said portal server obtaining information about a server matching said service request and asking said server to provide service (as stated in preceding paragraph of claim 1 and col.3, lines 42-44 and col. 4 lines 12-13, **portal server** 13 obtains information regarding **contents** from the information disclosing server through the **agents** and its **agent adapters**. The AAs 34 - 37 store a



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document in which information indicating the respective attributes of contents and relations among the contents, which were **collected** by the OLAP 38 etc., and provide it at the request of the agent 33);

and a fourth step of said server, who has accepted said service request from said portal server, asking said search broker to search for a server matching said requested service, obtaining information about said server matching said requested service, and asking said server to provide service (as stated in preceding paragraph of claim 1 and col.6, lines 22-29, on request from clients for services, **portal server** interface (I/F) 13e performs data protocol or format conversion when it sends data to and receives data from the clients 10 and 11 via the network 12. The I/F 13f performs data protocol or format conversion when it sends data to and receives data from the **information disclosing servers** 15 through 17 via the network 14 by implementing **agents and agent adapters for matching the service request** to the information disclosing server and providing to the **client**).

**As to Claim 4,** Suzuki teaches a method according to claim 3, wherein said portal further comprises a portal server policy database for storing information for selecting a lower-stratum server (as stated in preceding paragraph of claim 3, col.8, lines 43-44 and col.10, lines 40-42, portal server accesses an information disclosing server which is registered in advance, and collects additional information , based on **collection policy** for selection of information disclosing server with the portal server which is performed in compliance with a flow chart shown in FIG. 13),

wherein said server having a server policy database for storing information for selecting a lower-stratum server (as stated in preceding paragraph of claim 3 and col.10, lines 36-49, **set definition information (policy)** regarding the information disclosing servers, which includes a server name, agent adapter names, a server function name, a data record format on the server, a user-registered dictionary (ontology) name, agent adapter names, and an input-output interface to the agent adapter. Based on the above information stored in table of contents for **database** to be **disclosed** and **registered** with **portal server** information disclosing server is selected. FIG. 14 is a view showing an example of an **information collection policy**),

wherein said third step further comprises extracting a server matching policy information of said portal server policy database from among servers obtained for a reason of being suitable for said requested service and asking said extracted server to provide service (as stated in preceding paragraph of claim 3 and col.10, lines 50-67, translate the definitions set in step S1 and **convert the results** to information which is **collected (extracted)** in **collection policy** stored in a designated folder and provide it when it matches request),

wherein said fourth step further comprises extracting a server matching policy information server policy database from among servers obtained for a reason of being suitable for said requested service and asking said extracted server to provide service (as stated in preceding paragraph of claim 3 and col.10, lines 64-67, col. 11, lines 29-30 and lines 39-66, Information so collected is stored in a designated folder

on the portal server, by setting a **collection policy** for folder, a method for **collecting information** can be designated. FIGS. 16 through 18 are examples of a process for **collecting (extracting) information** from an information disclosing server. The **portal server** analyzes, judges whether or not the collection condition that change information should be collected is imposed. If the collection condition that change information should be collected is imposed, the portal server proceeds to step S26 locates the syntactic tree on a change information list. That is to say, the **portal server** specifies the appropriate folder to display from the information server selected fulfilling the requested service).

**As to Claim 5,** Suzuki teaches a method according to claim 3, wherein said portal server further comprises a portal server policy database for storing information for selecting a lower-stratum server (as stated in preceding paragraph of claim 3, col.10, lines 64-67 and col. 11, lines 16-17, information so collected is **stored** in a designated folder on the portal server **database**, by setting a **collection policy** for folder, a method for **collecting information** is designated, similarly **information collection policy** with a **conditional description** XML document for **selecting** information disclosing server can be **stored** in **database** of portal server),

wherein said portal server receives a result of service from said server requested service and information for evaluating service, and (as stated in preceding paragraph of claim 3 and col.11, lines 45-49, portal server obtains collected additional information documents (see FIG. 12) from the **agent (server requested**

**service).** The portal server **analyzes (evaluating)** the additional information documents with a general-purpose parser and obtains a **syntactic tree as analysis results),**

wherein on the basis of information for evaluating said service, a result of evaluation of the server's service by said client is reflected in said portal server policy database (as stated in preceding paragraph of claim 3 and col.11, lines 50-61, **portal server judges (evaluating)** whether or not the collection condition that change information should be collected is imposed. If the collection condition that change information should be collected is imposed, **portal server** locates the syntactic tree on a change information list and **changes** the appropriate **contents** object).

**As to Claims 6 and 8,** Suzuki teaches a method according to claim 5 and 7, wherein on the basis of a result of comparison between a level of credibility set for said client and a predetermined standard value, said server/portal server makes a decision whether to automatically have the evaluation of said server's service reflected in said portal server policy database or to ask the operator to reflect said evaluation of said server's service in said portal server policy database (as stated in preceding paragraph of claim 5 and 7, col.13, lines 26-33, lines 54-58, In the procedures shown in FIGS. 16 -18, the agent 33 makes a request to each agent adapter for collection on the basis of a collection policy (see FIG. 14) and an agent adapter creates an additional information document in response to the request for

collection and sends it to the agent. As a result, the **portal server** 13 will create a folder corresponding to the additional information document it obtained. The **administrator (operator)** of the portal server 13 can also edit and create the said information according to its **quality, importance** and the like).

**As to Claim 7,** Suzuki teaches a method according to claim 3, wherein said server further comprises a server policy database for storing information for selecting a lower-stratum server, wherein said server transmits information for evaluation of service along with a result of service requested and accepted in said third or fourth step to the source of the service request, and wherein on the basis of information for evaluation of said service, from among evaluation results of service of said server done by said client, the evaluation of service of a lower-stratum server is reflected in said server policy database (as stated in preceding paragraph of claim 3 and col.12, lines 01-19, lines **portal server** locates the **syntactic tree** on an **attribute information** list and obtains additional information and creates a contents object. By performing the above procedure, an attribute information document is obtained from a information disclosing server and, if change information is **collected**, only contents objects corresponding to contents changed will be changed).

**As to Claim 9**, Suzuki teaches a search broker for searching for service, said search broker being connected to a client making a request for service, servers organized in a hierarchical structure for providing service, a policy database for holding policy information about service requested by said client, and a registry for holding contents of service provided by said servers, said search broker comprising (as stated in preceding paragraph of claim 3 and col.11, lines 25-29, After definition information regarding the information disclosing servers and an information **collection policy** being **registered (registry)**, the **agent (search broker)** collects information from the information disclosing servers 15 through 17 in compliance with **registered contents (services)**. FIGS. 16 through 18 is examples of a process for collecting information from an information disclosing server:

a search request receiving part for receiving a request to search for service (as stated in preceding paragraph of claim 3 and col.11, lines 39-41, portal server provides the condition description XML document to the **agent 33** and makes a **request** to collect **contents**);

a policy inquiry part asking said policy database for policy information of said client having made a request for service and obtaining the policy information of said client from said policy database (as stated in preceding paragraph of claim 3 and col.11, lines 42-44, **agent 33** performs a **process for collecting** the **contents** and sends the **request** to an agent adapter to be searched. The agent adapter obtains a **collection condition** that is **collection policy** and performs a process for **creating** additional **information** XML document)

a registry search part for requesting a search for a server matching service asked for by said search request and obtaining information showing a server matching said service from said registry; (as stated in preceding paragraph of claim 3 and col.12, lines 60-64 and col. 13, lines 22-25, agent adapter reads directory settings from an environment setting file which describes environment setting situations regarding the information disclosing and moves to a folder from which it obtains attribute information. The above procedure enables an agent adapter to collect attribute information from a predetermined folder according to a **collection condition** and to **create** additional **information** XML document.

a policy extracting part for extracting a server matching the client's policy information obtained by said policy part from among servers related to said information obtained by said registry search part; and a search result transmitting part for transmitting the information showing the server extracted by said policy extracting part to the source of said search request for service (as stated in preceding paragraph of claim 3 and col.13, lines 26-33, In the procedures shown in FIGS. 16 through 18, the agent 33 makes a request to each agent adapter for collection on the basis of a **collection policy** (see FIG. 14) and an agent adapter **creates** an additional information XML document in response to the **request** for **collection** and sends it to the agent who merges and sorts data in designated order which it collected. As a result, the portal server 13 will **create** a folder corresponding to the additional information XML document it **obtained**).

**As to Claim 10,** Suzuki teaches a search broker according to claim 9, further comprising:

an additional information database for storing additional information about contents of service provided by said server; and an additional information search part for obtaining additional information about a server matching said requested service from said additional information database, wherein said policy extracting part refers to said additional information about a server obtained by said additional information search part from among servers related to the information obtained by said registry search part and extracts the server matching the client's policy information obtained by said policy inquiry part (as stated in preceding paragraph of claim 9 and col.18, lines 49-67 and col. 19, lines 1-7, information disclosing server comprises **contents** storing means for **storing** contents to be disclosed and **additional information storing** means for storing **additional information** indicating the respective attributes of contents to be provided of contents stored in the contents storing means and relations among the contents to be provided, the portal server comprises **additional information obtaining** means for **obtaining additional information stored** in the additional information storing means in the information disclosing server, additional information storage means for storing additional information obtained by the **additional information obtaining means**, display data **creating means** for **obtaining**, in the case of a request having been made from the client, the appropriate additional information from the additional information storage means and for **creating** display data, and sending means for sending display data



**created** by the display data **creating means** to the client which made a request, and the client comprises send requesting means for requesting the portal server to send predetermined display data, receiving means for receiving display data sent from the portal server as a result of a request from the send requesting means, and display outputting means for outputting display data received by the receiving means. Therefore, a desired page can be created easily by utilizing contents disclosed by an information disclosing server).

### ***Conclusion***

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

US Patent No. 6904449 to Quinones et al., US Publication No. 2005/0010653 to McCanne et al., and US Publication No. 2001/0034771 to Hutsch et al., are cited for reference but not taken into consideration.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Muktesh G. Gupta whose telephone number is 571-270-5011. The examiner can normally be reached on Monday-Friday, 8:00 a.m. - 5:00 p.m., EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Taghi T. Arani can be reached on 571-272-3787.

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The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Muktesh G. Gupta

Dr. Taghi T. Arani

  
TAGHI ARANI  
PRIMARY EXAMINER

10/12/07